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JC897 U.S. PTO

**UTILITY PATENT APPLICATION TRANSMITTAL
(Small Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
894.1.008Total Pages in this Submission
52**TO THE ASSISTANT COMMISSIONER FOR PATENTS****Box Patent Application
Washington, D.C. 20231**

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

ASSET MANAGEMENT ADVICE SYSTEM AND RECORDING MEDIUM CONTAINING PROGRAM OF THE SYSTEM

and invented by:

Sumio YuyamaJC675 U.S. PTO
09/630834
08/02/00If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Enclosed are:

Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 19 pages and including the following:
 - a. ☒ Descriptive Title of the Invention
 - b. ☐ Cross References to Related Applications (if applicable)
 - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
 - d. ☐ Reference to Microfiche Appendix (if applicable)
 - e. ☒ Background of the Invention
 - f. ☒ Brief Summary of the Invention
 - g. ☒ Brief Description of the Drawings (if drawings filed)
 - h. ☒ Detailed Description
 - i. ☒ Claim(s) as Classified Below
 - j. ☒ Abstract of the Disclosure

UTILITY PATENT APPLICATION TRANSMITTAL
(Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
894.1.008

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52

Application Elements (Continued)

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
a. ☒ Formal b. ☐ Informal Number of Sheets 1
4. ☒ Oath or Declaration
a. ☒ Newly executed *(original or copy)* ☐ Unexecuted
b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
c. ☐ With Power of Attorney ☐ Without Power of Attorney
d. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application,
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*
a. ☐ Paper Copy
b. ☐ Computer Readable Copy
c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

8. ☒ Assignment Papers *(cover sheet & documents)*
9. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☐ Acknowledgment postcard
14. ☒ Certificate of Mailing
☐ First Class ☒ Express Mail *(Specify Label No.):* EL 334858269 US

**UTILITY PATENT APPLICATION TRANSMITTAL
(Small Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
894.1.008

Total Pages in this Submission
52

Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Small Entity Statement(s) - Specify Number of Statements Submitted: 2 (Two)
17. ☒ Additional Enclosures (please identify below):

Request For Correction of Drawings

Fee Calculation and Transmittal


CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	34	- 20 =	14	x \$9.00	\$126.00
Indep. Claims	3	- 3 =	0	x \$39.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$345.00
OTHER FEE (specify purpose) <u>Recordation of Assignment</u>					\$40.00
TOTAL FILING FEE					\$511.00

- ☒ A check in the amount of **\$511.00** to cover the filing fee is enclosed.
- ☐ The Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: **August 2, 2000**

Address All Correspondence To:
Kenneth Watov
Watov & Kipnes, P.C.
P.O. Box 247
Princeton Junction, NJ 08550
(609) 243-0330


Signature

cc:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Sumio Yuyama

Docket No.

894.1.008

Serial No.
(Unknown)Filing Date
(Herewith)Examiner
(Unknown)Group Art Unit
(Unknown)

Invention:

ASSET MANAGEMENT ADVICE SYSTEM AND RECORDING MEDIUM CONTAINING PROGRAM OF THE SYSTEM

I hereby certify that the following correspondence:

New Patent Application including 19 pages of specification, and 1 sheet of drawing.

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

August 2, 2000
(Date)Mandy Willever*(Typed or Printed Name of Person Mailing Correspondence)*Mandy Willever
*(Signature of Person Mailing Correspondence)*EL 334858269 US*("Express Mail" Mailing Label Number)*

Note: Each paper must have its own certificate of mailing.

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27 (c)) - SMALL BUSINESS CONCERN**

Docket No.
894.1.008

Serial No.
(Unknown)

Filing Date
(Filed Herewith)

Patent No.
(Unknown)

Issue Date
(Unknown)

Applicant/ **Sumio Yuyama**
Patentee:

Invention:

**ASSET MANAGEMENT ADVICE SYSTEM AND RECORDING MEDIUM CONTAINING PROGRAM OF THE
SYSTEM**

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: **Goldenchart Co., Ltd. (A Japanese Corporation)**

ADDRESS OF CONCERN: **371 Hiro-machi, Minamiashigara-shi, Kanigawa 250-0121, Japan**

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

002030-4306360

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

FULL NAME _____
 ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME _____
 ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME _____
 ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME _____
 ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Sumio Yuyama

TITLE OF PERSON SIGNING President

OTHER THAN OWNER: _____

ADDRESS OF PERSON SIGNING: 371 Hiro-machi, Minamiashigara-shi, Kanigawa 250-0121, Japan

SIGNATURE: Sumio Yuyama DATE: July 26, 2000

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27 (b)) - INDEPENDENT INVENTOR**

Docket No.
894.1.008

Serial No.
(Unknown)

Filing Date
(Filed Herewith)

Patent No.
(Unknown)

Issue Date
(Unknown)

Applicant/ **Sumio Yuyama**
Patentee:

Invention:

**ASSET MANAGEMENT ADVICE SYSTEM AND RECORDING MEDIUM CONTAINING PROGRAM OF THE
SYSTEM**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled above and described in:

- ☒ the specification to be filed herewith.
☐ the application identified above.
☐ the patent identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern or organization exists.
☒ Each such person, concern or organization is listed below.

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27)

FULL NAME Goldenchart Co., Ltd. (A Japanese Corporation)
ADDRESS 371 Hiro-machi, Minamiashigara-shi, Kanagawa 250-0121, Japan
☐ Individual ☒ Small Business Concern ☐ Nonprofit Organization

FULL NAME
ADDRESS
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME
ADDRESS
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME
ADDRESS
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

002030"4E80E960

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF INVENTOR Sumio Yuyama

SIGNATURE OF INVENTOR *Sumio Yuyama*

DATE: July 26, 2000

NAME OF INVENTOR _____

SIGNATURE OF INVENTOR _____

DATE: _____

NAME OF INVENTOR _____

SIGNATURE OF INVENTOR _____

DATE: _____

NAME OF INVENTOR _____

SIGNATURE OF INVENTOR _____

DATE: _____

NAME OF INVENTOR _____

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NAME OF INVENTOR _____

SIGNATURE OF INVENTOR _____

DATE: _____

NAME OF INVENTOR _____

SIGNATURE OF INVENTOR _____

DATE: _____

002030 4806960

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Applicants : Sumio Yuyama
Serial No. : (Unknown)
Filed : (Herewith)
For : ASSET MANAGEMENT ADVICE SYSTEM AND
RECORDING MEDIUM CONTAINING PROGRAM OF
THE SYSTEM
Examiner : (Unknown)
Group Art Unit : (Unknown)
Atty Docket. No. : 894.1.008

EXPRESS MAIL CERTIFICATE	
DATE	August 2, 2000
LABEL NO.	EL 334858269 US
I HEREBY CERTIFY THAT, ON THE DATE INDICATED ABOVE, I DEPOSITED THIS PAPER OR FEE WITH THE U.S. POSTAL SERVICE AND THAT IT WAS ADDRESSED FOR DELIVERY TO THE COMMISSIONER OF PATENTS & TRADEMARKS, WASHINGTON, DC 20231 BY "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE.	
NAME (PRINT)	Mandy Willever
SIGNATURE	<i>Mandy Willever</i>

August 2, 2000

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

5

PRELIMINARY AMENDMENT

Dear Sir:

Please amend the above-captioned application as indicated below.

5 In The Abstract:

Delete the heading "ABSTRACT" and change the heading to read --ABSTRACT OF
THE INVENTION--.

Delete the present ABSTRACT and substitute therefor:

5 --ABSTRACT OF THE INVENTION

The present invention provides a net trade advice system in which not only data such as stock prices is presented, but also asset management advice can be obtained as if a user is served by a professional adviser at the window, and transactions can be made.

10 The present invention provides an asset management advice system that comprises a database storing purchase and sale signals relating to assets to be traded, which signals are calculated based on data such as stock prices, foreign exchange market prices and commodities-futures prices, the amount of remains (such as the amount of issuance of securities and the amount of existence of commodities), and the volume of business (such as trading volume and purchase and sale prices) of assets to be traded. A processing means that produces a suitable
15 investment scenario when a user's property information (constraints such as user's preference with respect to asset management and capitals) is inputted from a user terminal, and refers to the purchase and sale signals to send management advice data based on the investment scenario to the user terminal, and performs an asset transaction in accordance with a response to the management advice data from the terminal.--.

5 In The Specification:

Page 4, line 4, after "joint" insert --venture--; and

line 8, change "vein" to --embodiment--.

Page 5, line 9, change "recommendable" to --preferred--;

line 12, change "proceeds" to --instructs--;

line 14, delete "of";

line 15, change "management easy to" to --manager to easily--;

line 23, after "proceeds" insert --through the various steps of--;

line 24, change "character, however," to --character. However,--; and

line 35, change "recommendable" to --preferred--.

Page 6, line 9, change "user" to --user,--;

line 10, change "access the market" to --actually access the market, but--;

line 12, delete this line, and substitute therefore --trade, whereby purchases and sales are actually ordered--;

line 13, delete this line and substitute therefore --, and real profits and losses occur. In the virtual mode, --;

line 14, after "order" insert --,--, change "profit and loss" to --real or actual profits and losses--, and delete "in";

- 5 line 15, delete "reality";
- line 17, change "as a medium of a" to --in the form of a computer--;
- line 18, change "realizing" to --incorporating the steps for--;
- line 19, after "medium" insert --for--;
- line 21, change "of" to --for--, and change "when" to --based upon inputted--;
- 10 line 22, delete "is input";
- line 26, change "of" to --for--; and
- line 35, after "to" insert --a--.

Page 7, line 3, change "recommendable" to --preferred--;

- 15 line 5, delete this line and substitute therefore --different characteristics to permit
a user to select one of the--;
- line 6, change "scenario of them" to --scenarios--;
- line 13, after "scenario" insert --,--;
- line 24, after "make" insert --real--;
- line 25, after "transactions" insert --,--, delete "actually", and delete "not to";
- 20 line 26, delete this line and substitute therefore --transactions are made virtually,
without accessing the market to avoid real transactions--; and
- at least three lines after line 30, and before line 31, insert the paragraph --Various
embodiments of the invention are described in detail below with reference to the accompanying
drawings, in which like reference designations identify the same item, wherein:--.

5 Page 8, line 3, after "computer" insert --1--, after "in" insert --the site of--, and after
"agent" insert --,--;

line 4, after "company" insert --, for operating--;

line 5, delete "operates";

line 6, after "system" insert --, for an embodiment of the invention--;

10 line 7, change "of" to --3 provided by--;

line 8, after "can" insert --be used to--, and after "host" insert --1--;

line 10, change "adopter" to --adapter (a modem, for example)--;

line 11, change "adopter" to --adapter--, and after "network" insert --5--;

15 line 12, change "Data banks" to --Databanks--, after "securities market" insert
--9--, and after "financial market" insert --11--;

line 13, after "market" insert --13--;

line 14, after "network" insert --5--;

line 17, after "network" insert --5--;

line 20, after "host" insert --1--;

20 line 22, change "data base" to --database 7--;

line 30, delete this line and substitute therefore --prescribed algorithm. The host
accesses each associated databank--;

line 32, delete "data bank", and change "the" to --a--;

line 33, delete "in principle";

5 line 34, after "performs" insert --an--, and change "data base" to --database 7--;

and

line 35, change "the" to --a--.

Page 9, line 5, after "terminal" insert --3--, and after "to" insert --initially--;

line 6, delete "in the first place";

10 line 8, change "capitals" to --capital--;

line 10, change "periodical" to --periodic--; and

line 18, after "terminal" insert --3--, and after "host" insert --1--.

Page 10, line 9, after "host" insert --1--;

line 11, after "terminal" insert --3--;

15 line 17, after "host" insert --1--;

line 19, after "terminal" insert --3--;

line 22, after "terminal" insert --3--;

line 23, after "host" insert --1--;

line 24, after "host" insert --1--;

20 line 29, after "terminal" insert --3--;

line 33, after "terminal" insert --3--; and

line 34, after "terminal" insert --3--.

- 5 Page 11, line 4, after "host" insert --1--;
- line 8, after "instructions" insert --,--;
- line 9, change "not to" to --no connection--;
- line 10, change "connect" to --is made--;
- line 11, change "make" to --limit--, and after "host" insert --1--;
- 10 line 12, after "host" insert --1--;
- line 13, after "terminal" insert --3,--;
- line 14, after "host" insert --1--;
- line 15, after "host" insert --1--;
- line 16, after "day" insert --,--;
- 15 line 17, change "informs" to --provides--;
- line 22, after "terminal" insert --3--;
- line 24, after "terminal" insert --3--, and after "computer" insert --1--;
- line 25, after "server" insert --15--, and change "data base" to --database 7--;
- line 28, after "server" insert --15--;
- 20 line 29, change "data banks" to --databanks--;
- line 32, change "data base" to --database--;
- line 33, after "terminal" insert --3--, change "data base" to --database 7--, and after
- "terminal" insert --3--;
- line 34, after "computer" insert --1--; and
- 25 line 35, change "data base" to --database 7--.

5 Page 12, delete lines 3 through 6, and substitute therefore --In accordance with the present invention, asset management advice is provided in accordance with the user's preferences and/or criteria, relative to data and other materials obtained for permitting the present system to analyze the same for determining the aforesaid advice.--;

 line 7, delete "preference.";

10 line 10, delete "being most";

 line 11, delete this line and substitute therefore --Prior to making an actual net trade.--; and

 after line 11 insert the paragraph --Although various embodiments of the invention have been shown and described, they are not meant to be limiting. Those of skill in the art may recognize certain modifications to these embodiments, which modifications are meant to be covered by the spirit and scope of the appended claims.--.

In The Claims:

1. (Amended) An asset management advice system comprising:

20 a [data base] database storing purchase and sale signals relating to assets to be traded in a market; and

 a data processing means for both producing a suitable investment scenario when user's property information is input from a user terminal via a prescribed communication [means] mechanism, referring to the purchase and sale signals to send management advice data based on

- 5 the investment scenario to the user terminal, and performing an asset transaction in accordance with a response to the management advice data from the user terminal.

Claim 8, line 5, after "with" insert --the--.

Claim 11, line 6, change "data base" to --database--.

Claim 12, line 5, change "data base" to --database--.

- 10 13. (Amended) An asset management advice system according to claim 1 wherein, the user can select either [the] a real mode in which to access the market to perform real time actual asset transactions made by the data processing means [actually], [the] a virtual mode in which [not to access the market to perform them] the transactions are performed virtually without any access to the market.

- 15 14. (Amended) An asset management advice system comprising:
a communication means for connection to a [data base] database storing purchase and sale signals relating to assets to be traded in a market; and
a data processing means for producing a suitable investment scenario when a user's property information is [input] inputted from a prescribed input means, referring to the purchase
20 and sale signals to provide management advice data based on the investment scenario to the user

- 5 and performing an asset transaction in accordance with the user's response to the management advice data.

Claim 15, line 4, change "grounds" to --parameters--.

Claim 16, line 3, change "grounds" to --parameters--.

Claim 17, line 3, change "grounds" to --parameters--.

10 Claim 18, line 4, change "grounds" to --parameters--.

Claim 19, line 4, change "grounds" to --parameters--.

Claim 20, line 5, change "grounds" to --parameters--.

Claim 21, line 5, after "with" insert --the--.

Claim 22, line 3, after "scenario" insert --,--.

15 Claim 23, line 4, after "scenario" insert --,--.

5 Claim 24, line 5, after "scenario" insert --,--; and
 line 6, change "grounds" to --parameters--.

 Claim 25, line 4, before "user's" insert --the--.

26. (Amended) An asset management advice system according to claim 14 wherein, the
user can select either [the] a real mode in which to access the market to perform actual asset
10 transactions made by the data processing means in real time, [actually] or [the] a virtual mode
in which [not to access the market to perform them] the asset transaction are performed virtually
and with no access to the market.

27. (Amended) A recording medium recording an asset management advice program that
makes a data processing unit perform steps comprising:

15 a scenario producing process of producing a suitable investment scenario when a user's
property information is provided as an input;

 a management advising process of referring to purchase and sale signals relating to an
asset to be traded and stored in a [data base] database to produce management advice data based
on the investment scenario; and

20 a trading process of performing an asset transaction in accordance with the user's response
to the management advice data.

5 28. (Amended) A recording medium according to claim 27 wherein, the asset management advice program further comprises a process in which [the] a data processing unit automatically collects data concerning the purchase and sale signals relating to an asset recommended by the investment scenario and data constituting grounds for them to update the [data base] database.

10 29. (Amended) A recording medium according to claim 27 wherein, in the scenario producing process a plurality of investment scenarios with different characteristics are produced, and the user selects one investment scenario therefrom [of them].

15 30. (Amended) A recording medium according to claim 29 wherein, in the scenario producing process an animation character is set for each investment scenario, and in the management advising process the character operating in accordance with the management advice data, for providing [to be] an interface with the user.

Claim 31, line 4, after "scenario" insert --,--.

20 32. (Amended) A recording medium according to claim 29 wherein, the asset management advice program further comprises a process of automatically collecting data concerning the purchase and sale signals relating to an asset recommended in accordance with

5 the characteristics of each scenario, and data constituting [grounds] parameters for them to update the [data base] database.

Claim 33, line 4, after "to" insert --the--.

34. (Amended) A recording medium according to claim 27 wherein, in the trading process the user can select either [the] a real mode in which to access the market to make actual transactions [actually], or [the] a virtual mode [in which not to access the market] to make transactions virtually and without actual access to the market.

REMARKS

Claims 1 through 34 remain pending in this case. Claims 1, 8, and 11 through 34 have each been amended.

15 Filed herewith is a "Request For Correction of Drawings" for adding reference numerals to Figures 1 and 2, respectively. Subject to the approval of the Chief Draftperson, and Primary Examiner, it is respectfully requested that the drawing corrections be approved.

20 The Abstract, and the specification have been amended in order to improve the grammar and wording used to describe the various aspects of the invention. The application is an English translation of the Japanese priority document. Also, the "Detailed Description Of The Invention"

KW:mmw080100/8941008.PAMD

5 has been further amended to insert reference designations to accord with the correction of the drawings, as shown in red on the sheet of drawing attached to the "Request for Correction of Drawings" filed herewith.

The claims have also been amended in order to improve the grammar and wording thereof.

10 No new matter has been added.

Respectfully submitted,



Kenneth Watov

Reg. No. 26,042

Attorney for Applicants

Address all correspondence to:

Kenneth Watov

Watov & Kipnes, P.C.

P.O. Box 247

Princeton Junction, NJ 08550

(609) 243-0330

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Applicants : Sumio Yuyama
Serial No. : (Unknown)
Filed : (Herewith)
For : ASSET MANAGEMENT ADVICE SYSTEM AND
RECORDING MEDIUM CONTAINING PROGRAM OF
THE SYSTEM
Examiner : (Unknown)
Group Art Unit : (Unknown)
Atty Docket. No. : 894.1.008

EXPRESS MAIL CERTIFICATE
DATE August 2, 2000
LABEL NO. EL 334858269 US
I HEREBY CERTIFY THAT, ON THE DATE INDICATED ABOVE, I DEPOSITED THIS PAPER OR FEE WITH THE U.S. POSTAL SERVICE
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SIGNATURE Mandy Willever

August 2, 2000

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

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REQUEST FOR CORRECTION OF DRAWINGS

Dear Sir:

KW:mmw080100/8941008.RFCD

5 Please find enclosed a red marked sheet of the drawing showing the addition of reference numerals to Figures 1 and 2. Subject to the approval of the Chief Draftsperson, and Primary Examiner, it is respectfully requested that these corrections be approved.

No new matter has been added.

Respectfully submitted,



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FIG. 1

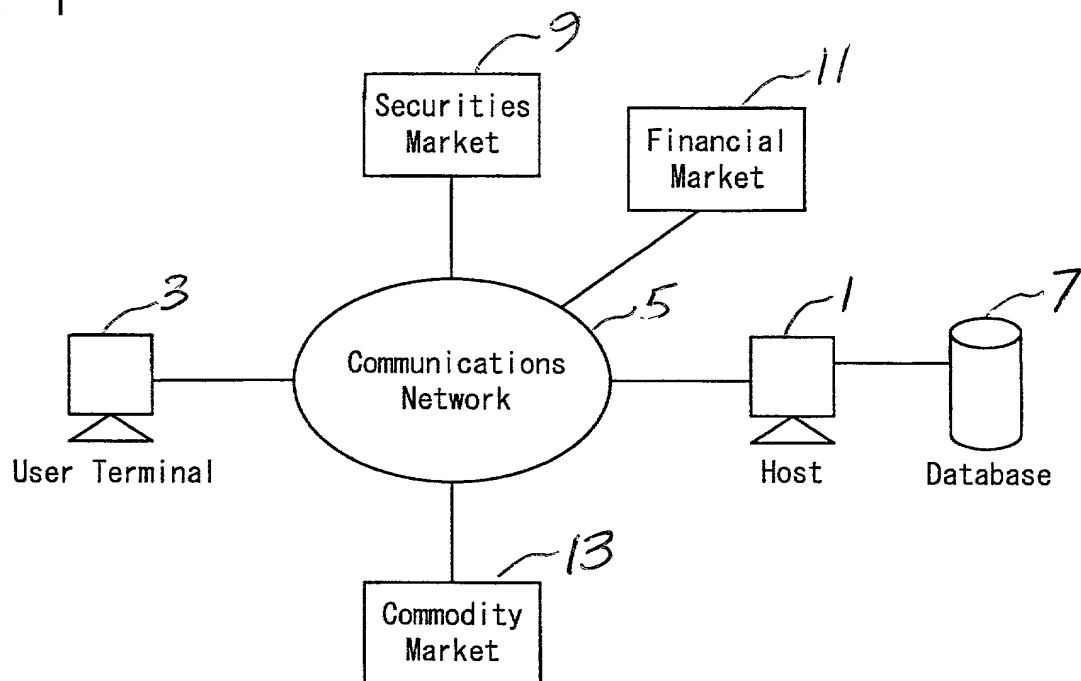
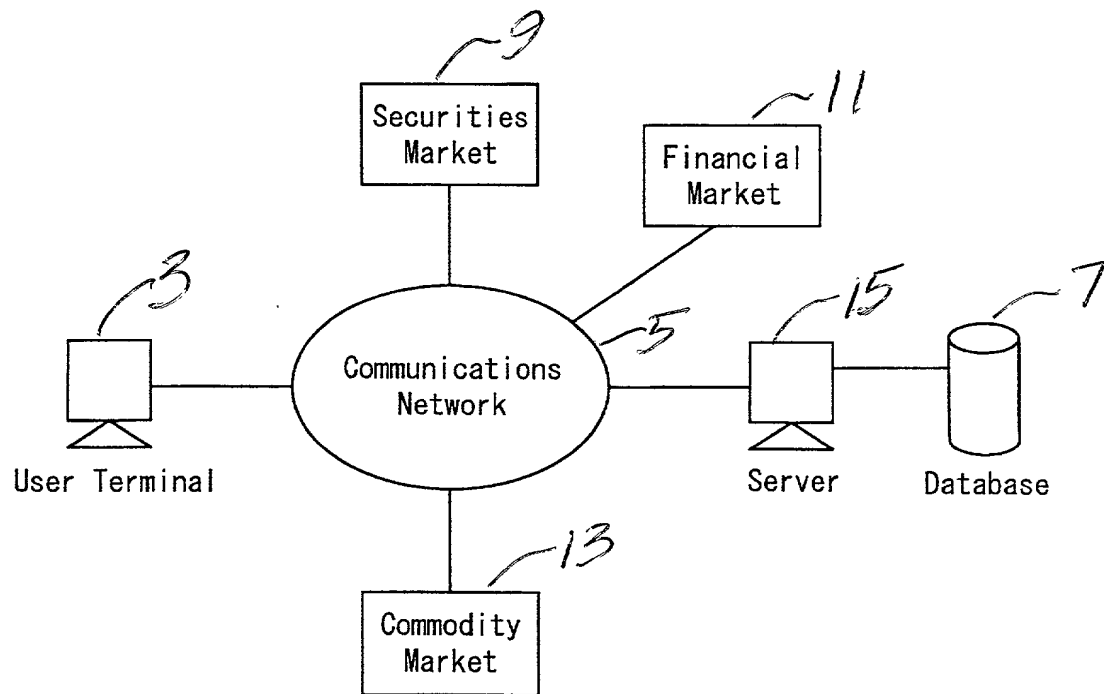


FIG. 2



ASSET MANAGEMENT ADVICE SYSTEM AND RECORDING MEDIUM
CONTAINING PROGRAM OF THE SYSTEM

FIELD OF THE INVENTION

The present invention relates to a data processing system for asset management through the use of securities, foreign exchange, futures or the like, and in particular, to an art of net trade utilizing a data communications network such as the Internet.

BACKGROUND OF THE INVENTION

Under the recent development of the information industry, electronic commerce utilizing a data communications network such as the Internet has been brisk. Net trade through data communications has enabled us to make transactions from personal computers at home, including transactions of assets such as securities represented by stocks and bonds, foreign exchange, and commodities futures relating to noble metals, natural resources and agricultural products.

Such an existing asset management system utilizing net trade is only a data-presenting means providing materials for judgement, in which a trading agent such as a securities company manages data such as stock prices and trading volume to provide it in the form of charts, tables or the like to a user terminal, and the user refers to it to make judgements by himself and orders trading. It is predictable that with the prevalence of personal computers and data communications, nonprofessionals with a little knowledge will be able to make asset transactions such as stock investments easily at home. However, through the conventional data-presenting means only, nonprofessionals can not easily perform asset management.

SUMMARY OF THE INVENTION

The present invention provides a system in which a user can make transactions while receiving advice on asset

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management as if he is served by a professional adviser at the window, instead of providing the conventional means merely representing data. Specifically, the present invention provides an asset management advice system comprising a data base that stores purchase and sale signals relating to an asset to be traded and a data processing means that produces a suitable investment scenario (calling an investment judgement program) when user's property information (constraints such as user's preference with respect to asset management and funds) is input from a user terminal (such as a personal computer, cellular phone or game terminal) via a predetermined communication means, refers to the purchase and sale signals to send management advice data based on the investment scenario to the user terminal, and makes an asset transaction in accordance with a response to the management advice data from the user terminal. Alternatively, the present invention provides an asset management advice system comprising a communication means connected to a data base that stores purchase and sale signals relating to an asset to be traded and a data processing means that produces a suitable investment scenario when user's property information is input from a predetermined input means, refers to the purchase and sale signals to provide management advice data based on the investment scenario to the user, and makes an asset transaction in accordance with user's response to the management advice data. The former is a system in which a host on the side of an asset trading agent such as a securities company or an investment advisory company serves as the data processing means to make an asset transaction. The latter is a system in which a personal computer a user owns serves as the data processing means to make an asset transaction, while the data base is managed on the side of the agent.

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The purchase and sale signals may be those that are calculated on the ground of data such as prices (such as stock prices, foreign exchange and commodities-futures prices), the amounts of remains (such as the amount of issuance of securities and the amount of existence of commodities) and the volume of business (such as trading volume and the amount of purchase and sale) of assets to be traded, and also optimized by a prescribed calculation expression for the data base. Further, quantitative data relating to assets to be traded and their sources (such as the source of issuance of securities and the source of supply of commodities) and qualitative data relating to assets to be traded and their sources can also be utilized as ground for the purchase and sale signals. Furthermore, quantitative macro information data in the locations of the sources and the regions of transactions of assets to be traded and qualitative macro information data in the locations of the sources and the regions of transactions of assets to be traded can also be utilized. The quantitative data corresponds, when the assets are, for example, securities such as stocks and bonds, to figures included in profit-and-loss statements, financial statements and the like of the issuing companies, and when the assets are noble metals, natural resources, agricultural products and the like, to figures of the amount of production, the amount of consumption and the like. The qualitative data corresponds, when the assets are, for example, securities, to information of the issuing companies comprising credit information such as the industries they belong, the stock markets on which their stocks are listed, the status of the over-the-counter registration, the grading by a grading institution, relations with a financial institution in business connections and the status of bills circulation, finance information such as securities planned to be newly issued, capital increase and stock divisions, information

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relating to the managers such as change of the managers and reshuffle of the executive establishments, management information such as reorganization of business, restructuring, a merger or joint with another company, a buyout of another company, an acquisition by another company or a tie-up with another company, and information relating to the management resources such as development and sales of new products or discovery of a new vein. The quantitative macro information data corresponds to economic statistics data such as the rate of economic growth, the rate of price increase and the unemployment rate, and the qualitative macro information data corresponds to the political situation and the social situation.

It is preferable that a data processing means in this system automatically collect data concerning purchase and sale signals relating to an asset recommended by an investment scenario and data constituting grounds for them to update a data base. Specifically, the update of the data base is preferably not started by a user with some switch but made by the data processing means automatically obtaining data from media such as a news agency and an exchange, so that user's load such as remembering to update the data base is lightened and the update can be made periodically, for example, one time a day unfaillingly. As a result, management advice data referring to the up-to date purchase and sale signals can always be produced. Further, the automatic update system allows update in real time of that kind of data for which earlier update is required. Furthermore, the data processing means can be set to automatically collect data concerning purchase and sale signals relating to user's holding assets and data constituting grounds for them to update the data base.

The asset management advice system of the present invention also makes the data processing means produce a plurality of investment scenarios with different

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processing means to automatically collect data concerning purchase and sale signals relating to an asset recommended in accordance with the characteristics of each investment scenario and data constituting grounds for them to update the data base.

It is preferable that the user can select either the real mode in which to access the market to actually perform an asset transaction made by the data processing means in accordance with a response from the user or the virtual mode in which not to access the market to perform it virtually. In the real mode, it works as an actual net trade and purchase and sale are actually ordered and there occur profit and loss in reality. In the virtual mode, there is no actual order and no profit and loss occur in reality. In brief, in the virtual mode, it works as a kind of simulation (game).

The present invention also provides, as a medium of a program realizing the above-described system, a recording medium recording an asset management advice program that makes a data processing unit perform a scenario producing process of producing an suitable investment scenario when user's property information is input, a management advising process of producing management advice data based on the investment scenario, referring to purchase and sale signals relating to an asset to be traded stored in a data base, and a trading process of performing an asset transaction in accordance with user's response to the management advice data. The asset management advice program can further include a process in which the data processing unit automatically collects data concerning purchase and sale signals relating to an asset recommended by an investment scenario and data constituting grounds for them to update the data base. In addition, a process of automatically collecting data concerning purchase and sale signals relating to user's holding assets and data constituting

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grounds for them to update the data base may further be added.

In the scenario producing process, it is recommendable to produce a plurality of investment scenarios with different characteristics so that a user can select one investment scenario of them. It is preferable to set an animation character for each investment scenario so that the character can operate in accordance with management advice data to be an interface with the user in the management advising process. In this case, it is further possible to include a process of storing management performance records for a past prescribed period of each investment scenario and to present the management performance records as well as the animation character to the user in the management advising process. In this case of producing a plurality of investment scenarios, it is preferable to include a process of automatically collecting data concerning purchase and sale signals relating to an asset recommended according to the characteristics of each investment scenario and data constituting grounds for them to update the data base.

In the trading process of the asset management advice program, it is also possible for a user to select either the real mode in which to access the market to make transactions actually or the virtual mode in which not to access the market to make transactions virtually.

Other features and advantages of the invention will be more apparent from the following description in connection with the accompanying drawings.

BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a block diagram showing an example of an asset management advice system of the present invention; and

Fig. 2 is a block diagram showing another example of a asset management advice system of the present invention.

DETAILED DESCRIPTION OF PREFERRED EMBODIMENTS

Fig. 1 shows an example of a structure in which a host computer installed in an asset trading agent such as a securities company or an investment advisory company operates as a data processing means of an asset management advice system.

A user terminal of a personal computer (or a cellular phone) the user owns can communicate with a host of an asset trading agent such as a securities company or an investment advisory company from a dial-up adopter or a LAN adopter via a communications network such as the Internet. Data banks of the securities market, financial market and commodity market are also connected to the communications network, from which banks necessary information can be retrieved. Further, data banks of news agents, newspaper publishing companies and magazine publishing companies (not shown in the figure) are also connected to the network so that the user can access each kind of data such as the trends of the markets or the movement of the other markets.

The host of an asset trading agent such as a securities company or an investment advisory company has a data base storing purchase and sale signals that comprise quantitative and qualitative data relating to prices, the amounts of issuance/existence, the volumes of trading/purchase and sale and the sources of issuance/supply of securities and commodities constituting assets to be traded, quantitative and qualitative macro information data in the locations and the regions of transactions of the assets and data consisting of the above data processed and optimized in accordance with a prescribed calculation expression. The host accesses each data bank at least once per business day on the daily basis in principle to collect information, and automatically performs update of the data base. Further, with the update on the daily basis, data per week, month and year is also

The user operates the terminal he owns to input his property information in the first place. The property information constitutes constraints such as user's preference with respect to asset management, capitals and the like, including the initial amount of management assets, the amount of an inflow of periodical cash flow (for example, the amount of a reserve of new savings per month), the cash holding rate (the percentage of cash in the total amount of assets, at which percentage or more cash is always held) and the extent of distributed investment (for example, the maximum number of brands in which the user will invest in the case of stocks). The property information input by the user is passed from the user terminal to the host via the communications means. The host receives it and produces a suitable investment scenario according to the property information. Namely, the host boots an investment judgement program suitable for the user.

In the case of this example, several kinds of investment scenarios are produced, each having individual characteristics. For example, a certain investment scenario is characterized in attaching importance on good bargains of stocks and purchasing brands meeting momentum conditions among conspicuous bargain brands overall. Another investment scenario is characterized in attaching importance on the growth prospects of companies and purchasing brands meeting momentum conditions among stocks with high growth prospects in profit. Still another investment scenario is characterized in calculating the degree of popularity of stocks from objective figures and purchasing brands meeting momentum conditions among brands

with high popularity. These characteristics are, however, not fixed and absolute. It is allowed for a user to change parameters within a certain range. For example, it is permissible to change to some extent how much to attach importance on good bargains or how much to attach importance on growth prospects or popularity in each investment scenario.

When these several kinds of investment scenarios with different characteristics are produced, the host presents them in the form of animation characters set for their respective scenarios to the user terminal. For example, a character like a gentleman is assigned to one investment scenario, a character other than a human being is for another investment scenario, and a character like a career woman is for still another investment scenario, thereby to distinguish them from each other and show them up on the display of the user terminal. At the same time, the host sends records of management performances for the past ten years of each character to the user terminal to help him judge the characteristics objectively.

The user selects one character suitable for his preference among the characters shown on the terminal and sends instructions to the host. On the selection of the investment scenario, the host refers to purchase and sale signals in the data base to send management advice data to advise what kind of brands are suitable at present and whether the brands should be sold or purchased in accordance with the selected investment scenario to the user terminal. Further, purchase and sale signals constituting grounds for the management advice data and data constituting grounds for the calculation of the purchase and sale signals are also presented to the user terminal, if necessary at that time.

At the user terminal, a transaction is proceeded in an interactive manner in which the character of the selected

investment scenario talks and operates in accordance with the management advice data to present a management guide such as a recommended brand and the user performs an operation accordingly. At that time, the host operates, in accordance with user's selection, either in the real mode (connected to net trade) in which to access the terminal of the securities market, financial market or commodity market to actually send purchase and sale instructions or in the virtual mode (released from net trade) in which not to connect with the securities market, financial market or commodity market to make processing inside the host. In the real mode, the host sends profit and loss resulting from actual transactions to the user terminal and informs them through the character. In the virtual mode, the host simulates transaction situations inside the host based on the transition in price or trading volume at that day and informs the results to the user through the character. That is, virtual trade is performed realistically and asset management can be performed like a game accompanying no actual profit and loss.

Fig. 2 shows an example of a structure in which a user terminal a user owns serves as a data processing means of an asset management advice system. Namely, the user terminal plays the same role as the host computer in Fig. 1.

In this case, a server equipped with a data base is installed on the side of an asset trading agent such as a securities company or an investment advisory company to manage the data base. Specifically, the server accesses the data banks of the securities market, financial market and commodity market to collect data that constitutes grounds for calculating purchase and sale signals to update the data base, and also serves as the window for the user terminal to access the data base. The user terminal performs the same functions as the host computer shown in Fig. 1 except for accessing the data base of the asset

trading agent such as a securities company or an investment advisory company through the server.

In accordance with the present invention, provided is not a data-presenting means for only presenting materials for judgement but an advice system in which asset management advice can be obtained in accordance with user's preference. This enables the user to utilize net trade as an asset management means more readily than before. Further, the virtual mode allows the user to simulate and experience a realistic asset transaction, being most suitable as an introduction to net trade.

What is claimed is:

1. An asset management advice system comprising:
a data base storing purchase and sale signals relating to assets to be traded; and
a data processing means for producing a suitable investment scenario when user's property information is input from a user terminal via a prescribed communication means, referring to the purchase and sale signals to send management advice data based on the investment scenario to the user terminal and performing an asset transaction in accordance with a response to the management advice data from the user terminal.
2. An asset management advice system according to claim 1 wherein, data relating to prices, the amount of remains and the volume of trading of assets to be traded is utilized as grounds for the purchase and sale signals.
3. An asset management advice system according to claim 2 wherein, quantitative data relating to assets to be traded and their sources is also utilized as grounds for the purchase and sale signals.
4. An asset management advice system according to claim 2 wherein, qualitative data relating to assets to be traded and their sources is also utilized as grounds for the purchase and sale signals.
5. An asset management advice system according to claim 2 wherein, quantitative macro information data in the locations of sources and transaction regions of assets to be traded is also utilized as grounds for the purchase and sale signals.
6. An asset management advice system according to claim 2 wherein, qualitative macro information data in the locations of sources and transaction regions of assets to be traded is also utilized as grounds for the purchase and sale signals.
7. An asset management advice system according to

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claim 1 wherein, the data processing means automatically collects data concerning the purchase and sale signals relating to an asset recommended by the investment scenario and data constituting grounds for them to update the data base.

8. An asset management advice system according to claim 1 wherein, the data processing means produces a plurality of investment scenarios with different characteristics and produces management advice data based on one investment scenario of them in accordance with user's selection.

9. An asset management advice system according to claim 8 wherein, an animation character is set for each investment scenario and the character operates in accordance with the management advice data, to be an interface with the user.

10. An asset management advice system according to claim 9 wherein, the data processing means stores management performance records for a past prescribed period of each investment scenario and the management performance records together with the animation character are presented to the user.

11. An asset management advice system according to claim 8 wherein, the data processing means automatically collects data concerning the purchase and sale signals relating to an asset recommended in accordance with the characteristics of each scenario and data constituting grounds for them to update the data base.

12. An asset management advice system according to claim 1 wherein, the data processing means automatically collects data concerning the purchase and sale signals relating to user's holding assets and data constituting grounds for them to update the data base.

13. An asset management advice system according to claim 1 wherein, the user can select either the real mode

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in which to access the market to perform asset transactions made by the data processing means actually or the virtual mode in which not to access the market to perform them virtually.

14. An asset management advice system comprising:

a communication means for connection to a data base storing purchase and sale signals relating to assets to be traded; and

a data processing means for producing a suitable investment scenario when user's property information is input from a prescribed input means, referring to the purchase and sale signals to provide management advice data based on the investment scenario to the user and performing an asset transaction in accordance with user's response to the management advice data.

15. An asset management advice system according to claim 14 wherein, data relating to prices, the amount of remains and the volume of trading of assets to be traded is utilized as grounds for the purchase and sale signals.

16. An asset management advice system according to claim 15 wherein, quantitative data relating to assets to be traded and their sources is also utilized as grounds for the purchase and sale signals.

17. An asset management advice system according to claim 15 wherein, qualitative data relating to assets to be traded and their sources is also utilized as grounds for the purchase and sale signals.

18. An asset management advice system according to claim 15 wherein, quantitative macro information data in the locations of sources and transaction regions of assets to be traded is also utilized as grounds for the purchase and sale signals.

19. An asset management advice system according to claim 15 wherein, qualitative macro information data in the locations of sources and transaction regions of assets to

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be traded is also utilized as grounds for the purchase and sale signals.

20. An asset management advice system according to claim 14 wherein, the data processing means automatically collects data concerning the purchase and sale signals relating to an asset recommended by the investment scenario and data constituting grounds for them to update the data base.

21. An asset management advice system according to claim 14 wherein, the data processing means produces a plurality of investment scenarios with different characteristics and produces management advice data based on one investment scenario of them in accordance with user's selection.

22. An asset management advice system according to claim 21 wherein, an animation character is set for each investment scenario and the character operates in accordance with the management advice data, to be an interface with the user.

23. An asset management advice system according to claim 22 wherein, the data processing means stores management performance records for a past prescribed period of each investment scenario and the management performance records together with the animation character are presented to the user.

24. An asset management advice system according to claim 21 wherein, the data processing means automatically collects data concerning the purchase and sale signals relating to an asset recommended in accordance with the characteristics of each scenario and data constituting grounds for them to update the data base.

25. An asset management advice system according to claim 14 wherein, the data processing means automatically collects data concerning the purchase and sale signals relating to user's holding assets and data constituting

grounds for them to update the data base.

26. An asset management advice system according to claim 14 wherein, the user can select either the real mode in which to access the market to perform asset transactions made by the data processing means actually or the virtual mode in which not to access the market to perform them virtually.

27. A recording medium recording an asset management advice program that makes a data processing unit perform:

a scenario producing process of producing a suitable investment scenario when user's property information is input;

a management advising process of referring to purchase and sale signals relating to an asset to be traded stored in a data base to produce management advice data based on the investment scenario; and

a trading process of performing an asset transaction in accordance with user's response to the management advice data.

28. A recording medium according to claim 27 wherein, the asset management advice program further comprises a process in which the data processing unit automatically collects data concerning the purchase and sale signals relating to an asset recommended by the investment scenario and data constituting grounds for them to update the data base.

29. A recording medium according to claim 27 wherein, in the scenario producing process a plurality of investment scenarios with different characteristics are produced and the user selects one investment scenario of them.

30. A recording medium according to claim 29 wherein, in the scenario producing process an animation character is set for each investment scenario and in the management advising process the character operates in accordance with the management advice data, to be an interface with the

user.

31. A recording medium according to claim 30 wherein, the asset management advice program further comprises a process of storing management performance records for a past prescribed period of each investment scenario and in the management advising process the management performance records together with the animation character are presented to the user.

32. A recording medium according to claim 29 wherein, the asset management advice program further comprises a process of automatically collecting data concerning the purchase and sale signals relating to an asset recommended in accordance with the characteristics of each scenario and data constituting grounds for them to update the data base.

33. A recording medium according to claim 27 wherein, the asset management advice program further comprises a process of automatically collecting data concerning the purchase and sale signals relating to user's holding assets and data constituting grounds for them to update the data base.

34. A recording medium according to claim 27 wherein, in the trading process the user can select either the real mode in which to access the market to make transactions actually or the virtual mode in which not to access the market to make transactions virtually.

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ABSTRACT

The present invention provides a net trade advice system in which not only data such as stock prices is presented but also asset management advice can be obtained as if a user is served by a professional adviser at the window and transactions can be made.

The present invention provides an asset management advice system that comprises a data base storing purchase and sale signals relating to assets to be traded, which signals calculated based on data such as prices (such as stock prices, foreign exchange market prices and commodities-futures prices), the amount of remains (such as the amount of issuance of securities and the amount of existence of commodities) and the volume of business (such as trading volume and purchase and sale prices) of assets to be traded, and a data processing means that produces a suitable investment scenario when user's property information (constraints such as user's preference with respect to asset management and capitals) is input from a user terminal, refers to the purchase and sale signals to send management advice data based on the investment scenario to the user terminal and performs an asset transaction in accordance with a response to the management advice data from the user terminal.

FIG. 1

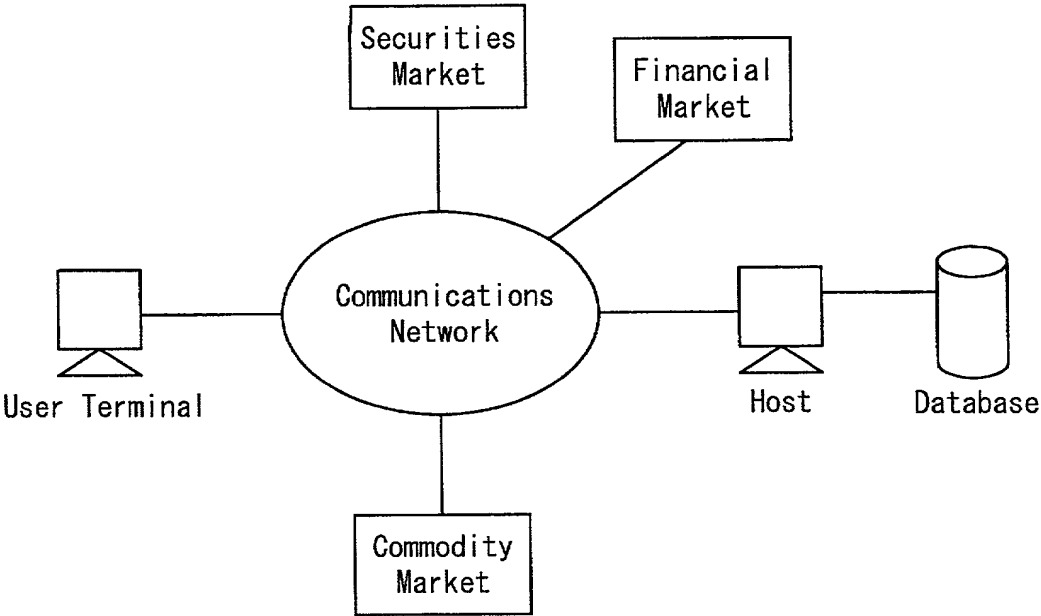
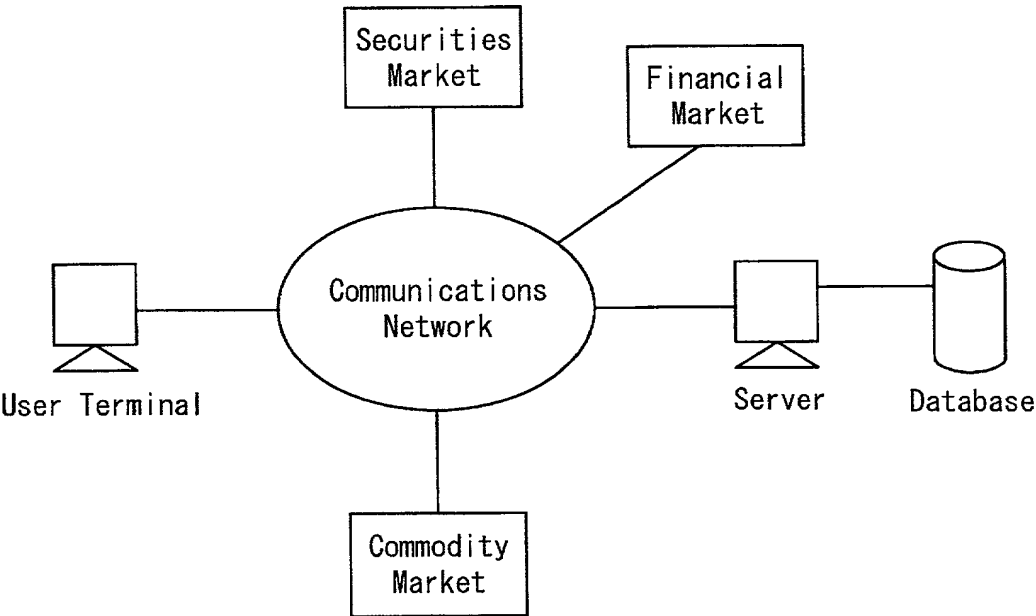


FIG. 2



Docket No.
894.1.008

Declaration and Power of Attorney For Patent Application

English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled
ASSET MANAGEMENT ADVICE SYSTEM AND RECORDING MEDIUM CONTAINING PROGRAM OF THE SYSTEM

the specification of which

(check one)

☒ is attached hereto.

☐ was filed on _____ as United States Application No. or PCT International

Application Number _____

and was amended on _____

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

303456/1999

JAPAN

26/10/99

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

_____ (Application Serial No.)	_____ (Filing Date)
_____ (Application Serial No.)	_____ (Filing Date)
_____ (Application Serial No.)	_____ (Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

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